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C678 U.S. P

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b)))

Attorney Docket No.

70802.01

First Inventor

Segal

Title

Mechanical Apparatus and Method for Dilating and Delivering a Therapeutic Agent to a Site of Treatment

Express Mail Label

EE891657065US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)

2.  Applicant claims small entity status.  
See 37 CFR 1.27.

3. Specification [Total Pages 51]  
(preferred arrangement set forth below)  
 - Descriptive title of the invention  
 - Cross Reference to Related Applications  
 - Statement Regarding Fed sponsored R & D  
 - Reference to sequence listing, a table, or a computer program listing appendix  
 - Background of the Invention  
 - Brief Summary of the Invention  
 - Brief Description of the Drawings (if filed)  
 - Detailed Description  
 - Claim(s)  
 - Abstract of the Disclosure

4.  Drawing(s) (35 U.S.C. 113) [Total Sheets 4]

Oath or Declaration [Total Pages 2]

a.  Newly executed (original or copy)  
 b.  Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)  
 i.  DELETION OF INVENTOR(S)  
 Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).

6.  Application Data Sheet. See 37 CFR 1.76

ADDRESS TO:  
Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7.  CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)

a.  Computer Readable Form (CRF)

b. Specification Sequence Listing on:  
 i.  CD-ROM or D-R (2 copies); or  
 ii.  paper

c.  Statements verifying identity of above copies

JC715 U.S. PTO  
09/29/01  
11/29/01  
**ACCOMPANYING APPLICATION PARTS**

9.  Assignment Papers (cover sheet & document(s))

10.  37 CFR 3.73(b) Statement  Power of Attorney  
(when there is an assignee)  English Translation Document (if applicable)

11.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations

12.  Preliminary Amendment

13.  Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)

14.  Certified Copy of Priority Document(s)  
(if foreign priority is claimed)

15.  Request and Certification under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.

16.  Other: .....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

 Continuation     Divisional     Continuation-in-part (CIP)

of prior application No.: ..... / .....

Prior application information: Examiner .....

Group Art Unit: .....

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

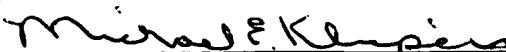
**19. CORRESPONDENCE ADDRESS**

Customer Number or Bar Code Label   
(Insert Customer Number or Bar Code Label here) or  Correspondence address below

22509

PATENT TRADEMARK OFFICE

Name			
Address			
City	State	Zip Code	
Country	Telephone	Fax	

Name (Print/Type)	Michael E. Klicpera	Registration No. (Attorney/Agent)	38,044
Signature			Date 11/29/2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

**Complete if Known**

Application Number	
Filing Date	11/29/2001
First Named Inventor	Segal
Examiner Name	
Group Art Unit	
TOTAL AMOUNT OF PAYMENT	(\$ 712)
Attorney Docket No.	70802.01

Applicant claims small entity status. See 37 CFR 1.27

**TOTAL AMOUNT OF PAYMENT**      **(\$ 712)**

Attorney Docket No. 70802.01

### METHOD OF PAYMENT (check all that apply)

Check     Credit card     Money Order     Other

Deposit Account:

Deposit Account Number  
Deposit Account Name

The Commissioner is authorized to: (check all that apply)

Charge fee(s) indicated below     Credit any overpayments  
 Charge any additional fee(s) during the pendency of this application  
 Charge fee(s) indicated below, except for the filing fee  
 to the above-identified deposit account.

### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES

Large Entity    Small Entity

Fee Code (\$)	Fee (\$)	Fee Code (\$)	Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR 1.129(a))	
149	740	249	370	For each additional invention to be Examined (37 CFR 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
Other fee (specify) _____					

**SUBTOTAL(1)**      **(\$ 370)**

#### 2. EXTRA CLAIM FEES

	Extra Claims	Fee from below	Fee paid
Total Claims	44	-20** = 24	X 9 = 216
Independent Claims	6	-3** = 3	X 42 = 126
Multiple Dependent			=

#### Large Entity    Small Entity

Fee Code (\$)	Fee (\$)	Fee Code (\$)	Fee Description
103	18	203	Claims in excess of 20
102	84	202	Independent claims in excess of 3
104	280	204	Multiple dependent claim, if not paid
109	84	209	**Reissue independent claims over original patent
110	18	210	**Reissue claims in excess of 20 and over original patent

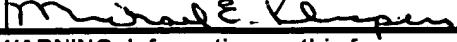
**SUBTOTAL(2)**      **(\$ 342)**

\*or number previously paid, if greater; For Reissues, see above

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL(3)**      **(\$ )**

#### SUBMITTED BY

Name (Print/Type)	Michael E. Klicpera, Esq.	Registration No. (Attorney/Agent)	38,044	Telephone	(858) 268-4488	
Signature					Date	11/29/2001

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

**CERTIFICATE OF MAILING UNDER 37 CFR 1.10**

Express Mail mailing label No. EE891657065US

I hereby certify that the following documents:

- ✓ Utility Patent Application Transmittal
- ✓ Fee Transmittal
- ✓ United States Patent Application
- ✓ Declaration for Utility or Design Patent Application

are being deposited with the United States Postal Service with sufficient postage as "Express Mail Post Office to Addressee" in an envelope addressed to:

**Box PATENT  
U.S. Patent and Trademark Office  
P.O. Box 2327  
Arlington, VA 22202**

on November 29, 2001.

Michael E. Klicpera  
Signature

Michael E. Klicpera  
Typed or printed name of person signing Certificate